

#3



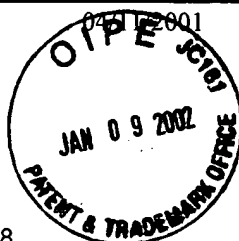
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/833,036	01/09/2002	Alfred M. Gabriele	02208-1

000987

SALTER & MICHAELSON  
THE HERITAGE BUILDING  
321 SOUTH MAIN STREET  
PROVIDENCE, RI 029037128



CONFIRMATION NO. 8351

## FORMALITIES LETTER



\*OC000000006156126\*

Date Mailed: 06/07/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$76.
  - \$36 for 4 total claims over 20.
  - \$40 for 1 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 496.**

*A copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

01/14/2002 HN00R1 00000081 09833036  
01 FC:201 370.00  
02 FC:205 65.00  
03 FC:202 42.00  
04 FC:203 36.00

Practitioner's Declaration 2208-1



SECTOR 8  
PATENT  
#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Gabriele, Alfred M. et al.

Application No.: 09/833,036

Group No.: 1753

Filed: 04/11/2001

Examiner: To be assigned

For: METHOD FOR LEVELING AND COATING A SUBSTRATE AND AN ARTICLE FORMED THEREBY

Assistant Commissioner for Patents  
Washington, D.C. 20231

CERTIFICATE OF MAILING UNDER 37 C.F.R. section 1.8(a)

I hereby certify that the attached correspondence comprising:

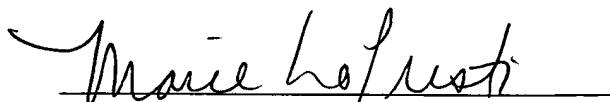
Transmittal for Completion of Filing Requirements (4 pgs.);  
Copy of Notice to File Missing Parts (1 pg.);  
Executed Declaration (3 pgs.);  
Recordation Form Cover Sheet (1 pg.);  
Assignment to Metalbond Technologies, LLC (2 pgs.);  
Recordation Form Cover Sheet (1 pg.);  
Assignment to DB Thin Films, LLC (2 pgs.);  
Recordation Form Cover Sheet (1 pg.);  
License Agreement and Exhibits A-D (42 pgs.);  
Acknowledgment Postcard (1 pg.); and  
Check for \$1,093.00.

is being deposited with the United States Postal Service, with sufficient postage, as first class mail in an envelope addressed to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

on Nov. 2, 2001.

Marie LoPresti

  
Signature of person mailing paper



#3

Practitioner's Patent No. 02208-1

PATENT

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Gabriele, Alfred M. et al.

Application No.: 09/833,036

Group No.: 1753

Filed: April 11, 2001

Examiner: To be assigned

For: METHOD FOR LEVELING AND COATING A SUBSTRATE AND AN ARTICLE FORMED THEREBY

Box Missing Part  
Assistant Commissioner for Patents  
Washington, D.C. 20231

COMPLETION OF FILING REQUIREMENTS  
-- NONPROVISIONAL APPLICATION

I. This replies to the Notice to File Missing Parts of Application (PTO-1533) mailed June 7, 2001.

A copy of the Notice to File Missing Parts of Application--Filing Date Granted (Form PTO-1533) is enclosed.

## DECLARATION OR OATH

II. No declaration or oath was filed. Enclosed is the original declaration or oath for this application.

## SMALL ENTITY STATUS

III. Applicants are entitled to small entity status.

## CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. SECTION 1.8(a))

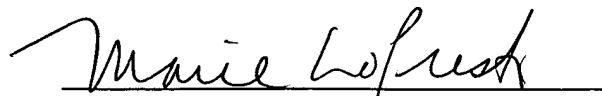
I hereby certify that this correspondence is, on the date shown below, being:

## MAILING

X deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

## FACSIMILE

[ ] transmitted by facsimile to the Patent and Trademark Office at (703) \_\_\_\_ - \_\_\_\_.

  
Signature

Date: November 2, 2001

Marie LoPresti  
(type or print name of person certifying)

01/14/2002 HND0R1 00000081 09833036

08 FC:217

460.00 OP

(Completion of Filing Requirements--Nonprovisional Application--page 1 of 4)

**Art Unit:**  
**Serial No.:**

**1753**  
**09/833,036**

**ASSIGNMENT**

**IV.** Attached hereto are the following assignments and an \$80.00 recordal fee:

Assignment from Peter B. Dragone and Jacob Avissar to DB Thin Films, LLC.

Assignment from Alfred M. Gabriele and Timothy Coxon to Metalbond Technologies, LLC.

**LICENSE AGREEMENT**

**V.** Attached hereto is a License Agreement by and between Metalbond Technologies, LLC and DB Thin Films, LLC. and a \$40.00 recordal fee.

**COMPLETION FEES**

**VI.**

**1. Filing Fee**

Original patent application (37 C.F.R. Section 1.16(a))	\$370.00
--	----------

**2. Fees for Claims**

Each independent claim in excess of 3 (37 C.F.R. Section 1.16(b))	\$42.00
--	---------

Each claim in excess of 20 (37 C.F.R. Section 1.16(c))	\$36.00
---	---------

**3. Surcharge Fees**

Late payment of filing fee and/or late filing of original declaration or oath (37 C.F.R. Section 1.16(e))	\$65.00
--	---------

4. Assignment and License Agreement Recordal Fees	\$120.00
--	----------

Total Completion Fees	\$633.00
-----------------------	----------

**Art Unit:**  
**Serial No.:**

**1753**  
**09/833,036**

**EXTENSION OF TIME**

**VII.** The proceedings herein are for a patent application, and the provisions of 37 C.F.R. Section 1.136(a) apply.

Applicant petitions for an extension of time, the small entity fee for which is set out in 37 C.F.R. Section 1.17(a)(3), for three months.

Fee	\$460.00
-----	----------

If an additional extension of time is required, please consider this a petition therefor.

**TOTAL FEE DUE**

**VIII.** The total fee due is:

Completion fees	\$633.00
Extension fee (if any)	\$460.00
Total Fee Due	\$1,093.00

**PAYMENT OF FEES**

**IX.** Enclosed is a check in the amount of 1,093.00.

Please charge Account No. 19-0120 for any fees that may be due by this paper.

**Art Unit:**  
**Serial No.:**

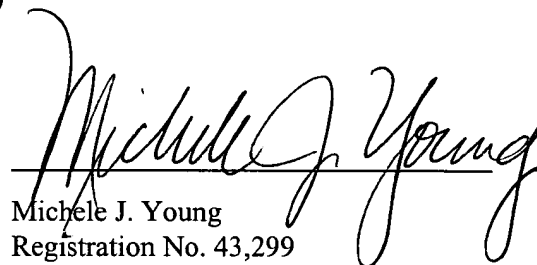
**1753**  
**09/833,036**

**AUTHORIZATION TO CHARGE ADDITIONAL FEES**

- X.** The Commissioner is hereby authorized to charge the following additional fees that may be required by this paper and during the pendency of this application to Account No. 19-0120.

37 C.F.R. Section 1.17(a)(1)-(5) (extension fees pursuant to Section 1.136(a))  
37 C.F.R. Section 1.17 (application processing fees)

Date: November 2, 2001



Michele J. Young  
Registration No. 43,299  
Salter & Michaelson  
321 South Main Street  
Providence, RI 02903  
US  
Tel: 401-421-3141  
Fax: 401-861-1953  
Customer No. 000987